

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 12-2004)

ATTORNEY'S DOCKET NUMBER

SERVIER 452 PCT

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/531620**

INTERNATIONAL APPLICATION NO.  
PCT FR2003 003021

INTERNATIONAL FILING DATE  
October 14, 2003

PRIORITY DATE CLAIMED  
October 16, 2002

**TITLE OF INVENTION**

Pyrrolo[3,4-c]carbazole and pyrido[2,3-b]pyrrolo[3,4-e]indole.

**APPLICANT(S) FOR DO/EO/US**

Michelle PRUDHOMME, Bernadette HUGON, Fabrice ANIZON, John HICKMAN, Alain PIERRE, Roy GOLSTEYN, Pierre RENARD & Bruno PFEIFFER

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 23 below concern document(s) or information included:**

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 665491146 US
23. ☒ Other items or information:


USPTO Form 1449

Claim to Foreign Priority benefits under 35USC § 119

Certified copy of French Priority 02.12846

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 2em; font-weight: bold; margin-top: 10px;">10/531620</div>		INTERNATIONAL APPLICATION NO. <div style="font-weight: bold; margin-top: 10px;">PCT FR2003 003021</div>		ATTORNEY'S DOCKET NUMBER <div style="font-weight: bold; margin-top: 10px;">SERVIER 452 PCT</div>																					
24. The following fees are submitted: <input checked="" type="checkbox"/> a) Basic national fee ..... \$300.00 <input checked="" type="checkbox"/> b) Examination fee ..... \$200.00 <input checked="" type="checkbox"/> c) Search fee ..... \$500.00 <div style="text-align: right; font-weight: bold; margin-top: 10px;">TOTAL OF ABOVE CALCULATIONS = \$1000.00</div>				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:50%;">Applicant use</th> <th style="width:50%;">Office use</th> </tr> <tr> <td>\$ 300.00</td> <td></td> </tr> <tr> <td>\$ 200.00</td> <td></td> </tr> <tr> <td>\$ 500.00</td> <td></td> </tr> <tr> <td>\$ 1,000.00</td> <td></td> </tr> </table>		Applicant use	Office use	\$ 300.00		\$ 200.00		\$ 500.00		\$ 1,000.00											
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<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. <table border="1" style="width:100%; border-collapse: collapse; margin-top: 10px;"> <tr> <th style="width:15%;">Total Sheets</th> <th style="width:15%;">Extra Sheets</th> <th style="width:30%;">Number of each additional 50 or fraction thereof (round up to a whole)</th> <th style="width:10%;">RATE</th> <th style="width:10%;"></th> <th style="width:10%;"></th> </tr> <tr> <td>79 - 100 =</td> <td>-21 /50 =</td> <td>0</td> <td>x \$250.00</td> <td>\$</td> <td>\$0.00</td> </tr> </table>				Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE			79 - 100 =	-21 /50 =	0	x \$250.00	\$	\$0.00	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td colspan="2" style="height: 20px;">\$</td> </tr> </table>		\$							
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Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)). <table border="1" style="width:100%; border-collapse: collapse; margin-top: 10px;"> <tr> <th style="width:15%;">CLAIMS</th> <th style="width:15%;">NUMBER FILED</th> <th style="width:15%;">NUMBER EXTRA</th> <th style="width:10%;">RATE</th> <th style="width:10%;"></th> <th style="width:10%;"></th> </tr> <tr> <td>Total claims</td> <td>21 - 20 =</td> <td>1</td> <td>x \$50.00</td> <td>\$</td> <td>\$50.00</td> </tr> <tr> <td>Independent claims</td> <td>1 - 3 =</td> <td>0</td> <td>x \$200.00</td> <td>\$</td> <td>\$0.00</td> </tr> </table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			Total claims	21 - 20 =	1	x \$50.00	\$	\$50.00	Independent claims	1 - 3 =	0	x \$200.00	\$	\$0.00	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td colspan="2" style="height: 20px;">\$</td> </tr> </table>		\$	
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MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00 <div style="text-align: right; font-weight: bold; margin-top: 10px;">TOTAL OF ABOVE CALCULATIONS = \$1,050.00</div>				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td colspan="2" style="height: 20px;">\$</td> </tr> </table>		\$																			
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<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. <div style="text-align: right; font-weight: bold; margin-top: 10px;">SUBTOTAL = \$1,050.00</div>				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td colspan="2" style="height: 20px;">\$</td> </tr> </table>		\$																			
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Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). <div style="text-align: right; font-weight: bold; margin-top: 10px;">TOTAL NATIONAL FEE = \$1,050.00</div>				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td colspan="2" style="height: 20px;">\$</td> </tr> </table>		\$																			
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Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property + <div style="text-align: right; font-weight: bold; margin-top: 10px;">TOTAL FEES ENCLOSED = \$1,050.00</div>				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td colspan="2" style="height: 20px;">\$</td> </tr> </table>		\$																			
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Amount to be refunded: Amount to be charged:				<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:50%; height: 20px;">\$</td> <td style="width:50%; height: 20px;">\$</td> </tr> </table>		\$	\$																		
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a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>\$1,050.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>08-3220</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.																									
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status. SEND ALL CORRESPONDENCE TO: <b>THE FIRM OF HUESCHEN AND SAGE</b> <b>500 COLUMBIA PLAZA</b> <b>350 EAST MICHIGAN AVENUE</b> <b>KALAMAZOO, MI 49007</b>																									
SIGNATURE <div style="font-weight: bold; margin-top: 10px;">G. PATRICK SAGE</div> NAME <div style="margin-top: 10px;">37,710</div> REGISTRATION NUMBER																									

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> Applicant(s): Michelle PRUDHOMME, et al.			Docket No. <b>SERVIER 452 PCT</b>	
Application No.	Filing Date	Examiner	Customer No.	Group Art Unit
Invention: <b>PYRROLO[3,4-C]CARBAZOLE AND PYRIDO [2,3-B]PYRROLO[3,4-E]INDOLE COMPOUNDS.</b>				
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; margin: 10px 0;"> <b>Certified translation of International Patent Application PCT FR2003 003021(79 Pg.), Transmittal Letter, Declaration / PowerAttorney, ISE, IPER, USPTO Form 1449, listing of claims, preliminary amendment, Certified copy of French Application 02.18426 &amp; Translation thereof, and check no. 73433 for \$1,050.00.</b> </div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on</p> <div style="margin-top: 20px;"> <div style="display: flex; justify-content: space-between;"> <div style="text-align: center;"> <u>April 13, 2005</u>  <i>(Date)</i> </div> <div style="text-align: center;"> <u>Linda Wooden</u>  <i>(Typed or Printed Name of Person Mailing Correspondence)</i>    <i>(Signature of Person Mailing Correspondence)</i> </div> </div> <div style="margin-top: 20px; text-align: center;"> <u>EV 665491146 US</u>  <i>("Express Mail" Mailing Label Number)</i> </div> </div>				
<b>Note: Each paper must have its own certificate of mailing.</b>				